

FORM PTO-1449 (SUBSTITUTE)		Attorney Docket No.: P2001,0158	Applic. No. 10/657,928
U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Applicant Wolfgang Gustin et al.	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFR 1.98(b))		Filing Date September 10, 2003	Group Art Unit

U.S. PATENT DOCUMENTS

EXAMINER INITIALS		PATENT NO.	DATE	PATENTEE	CLASS	SUB CLASS	FILING DATE
	A						
	B						
	C						
	D						
	E						
	F						
	G						
	H						
	I						

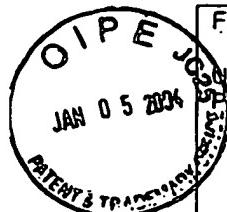
FOREIGN PATENT DOCUMENT

		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB CLASS	TRANSL. YES NO
	J						
	K						
	L						
	M						
	N						

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

<i>ZKS</i>	O	L. Nesbit et al.: "A 0.6 μm^2 256Mb Trench DRAM Cell With Self-Aligned Buried STrap (BEST)", IEDM 1993, pp. 627-630
<i>ZKS</i>	P	G. Bronner et al.: "A Fully planarized 0.25 μm CMOS Technology for 256Mbit DRAM and Beyond", 1995 Symposium on VLSI Technology Digest of technical Papers, Kyoto, Japan, pp. 15-16
EXAMINER <i>ZSDH</i>		DATE CONSIDERED 7/8/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609;
Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



FORM PTO-1449 (SUBSTITUTE) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFR 1.98(b))		Attorney Docket No.: P2001,0158	Applic. No. 10/657,928
		Applicant	Wolfgang Gustin et al.
		Filing Date	Group Art Unit September 10, 2003

U.S. PATENT DOCUMENTS

EXAMINER INITIALS		PATENT NO.	DATE	PATENTEE	CLASS	SUB CLASS	FILING DATE
	A						
	B						
	C						
	D						
	E						
	F						
	G						
	H						
	I						

FOREIGN PATENT DOCUMENT

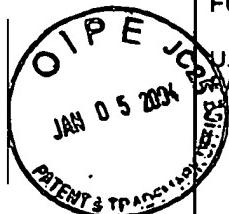
		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB CLASS	TRANSL. YES NO
	J						
	K						
	L						
	M						
	N						

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

<i>ZKS</i>	O	Stanley Wolf: "Silicon Processing For The VLSI Era – Volume 2: Process Integration", Lattice Press, Sunset Beach, California, cover page only
<i>ZKS</i>	P	D. Widmann et al.: "Technologie hochintegrierter Schaltungen", Springer Verlag, Heidelberg, Germany, 2 nd ed., cover page only

EXAMINER	<i>ZKS</i>	DATE CONSIDERED
		7/8/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609;
 Draw line through citation if not in conformance and not considered. Include copy of this form with
 next communication to applicant.



FORM PTO-1449 (SUBSTITUTE) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFR 1.98(b))		Attorney Docket No.: P2001,0158	Applic. No. 10/657,928
		Applicant	Wolfgang Gustin et al.
		Filing Date	Group Art Unit
		September 10, 2003	

U.S. PATENT DOCUMENTS

EXAMINER INITIALS		PATENT NO.	DATE	PATENTEE	CLASS	SUB CLASS	FILING DATE
	A						
	B						
	C						
	D						
	E						
	F						
	G						
	H						
	I						

FOREIGN PATENT DOCUMENT

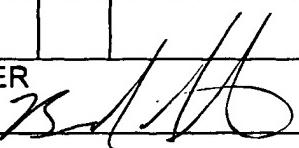
		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB CLASS	TRANSL. YES NO
	J						
	K						
	L						
	M						
	N						

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

<i>JKS</i>	O	U. Gruening et al.: A Novel Trench DRAM Cell with a <u>VERtical</u> Access Transistor and <u>BuriEd Strap</u> (VERI BEST) for 4Gb/16Gb", IEEE, 1999, 4 pp
	P	

EXAMINER	<i>JKS</i>	DATE CONSIDERED
		<i>7/8/04</i>

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609;
Draw line through citation if not in conformance and not considered. Include copy of this form with
next communication to applicant.

FORM PTO-1449 (SUBSTITUTE) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (37 CFR 1.98(b))				Attorney Docket No.: P2001,0158 Appl. No.: Applicant: WOLFGANG GUSTIN ET AL. Filing Date: September 9, 2003 Group Art Unit:																																																																																			
<table border="1"> <thead> <tr> <th>EXAMINER INITIALS</th> <th></th> <th>PATENT NO.</th> <th>DATE</th> <th>PATENTEE</th> <th>CLASS</th> <th>SUB CLASS</th> <th>FILING DATE</th> </tr> </thead> <tbody> <tr><td>ZKS</td><td>A</td><td>5,744,386</td><td>4/28/98</td><td>Kenney</td><td></td><td></td><td></td></tr> <tr><td>ZKS</td><td>B</td><td>5,827,765</td><td>10/27/98</td><td>Stengl et al.</td><td></td><td></td><td></td></tr> <tr><td>ZKS</td><td>C</td><td>5,670,805</td><td>9/23/97</td><td>Hammerl et al.</td><td></td><td></td><td></td></tr> <tr><td>ZKS</td><td>D</td><td>5,360,758</td><td>11/1/94</td><td>Bronner et al.</td><td></td><td></td><td></td></tr> <tr><td>ZKS</td><td>E</td><td>6,509,599 B1</td><td>1/21/03</td><td>Wurster et al.</td><td></td><td></td><td></td></tr> <tr><td></td><td>F</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>G</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>H</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr><td></td><td>I</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table>								EXAMINER INITIALS		PATENT NO.	DATE	PATENTEE	CLASS	SUB CLASS	FILING DATE	ZKS	A	5,744,386	4/28/98	Kenney				ZKS	B	5,827,765	10/27/98	Stengl et al.				ZKS	C	5,670,805	9/23/97	Hammerl et al.				ZKS	D	5,360,758	11/1/94	Bronner et al.				ZKS	E	6,509,599 B1	1/21/03	Wurster et al.					F								G								H								I						
EXAMINER INITIALS		PATENT NO.	DATE	PATENTEE	CLASS	SUB CLASS	FILING DATE																																																																																
ZKS	A	5,744,386	4/28/98	Kenney																																																																																			
ZKS	B	5,827,765	10/27/98	Stengl et al.																																																																																			
ZKS	C	5,670,805	9/23/97	Hammerl et al.																																																																																			
ZKS	D	5,360,758	11/1/94	Bronner et al.																																																																																			
ZKS	E	6,509,599 B1	1/21/03	Wurster et al.																																																																																			
	F																																																																																						
	G																																																																																						
	H																																																																																						
	I																																																																																						
FOREIGN PATENT DOCUMENT																																																																																							
<table border="1"> <thead> <tr> <th></th> <th></th> <th>DOCUMENT NO.</th> <th>DATE</th> <th>COUNTRY</th> <th>CLASS</th> <th>SUB CLASS</th> <th>TRANSL. YES NO</th> </tr> </thead> <tbody> <tr><td>ZKS</td><td>J</td><td>196 20 625 C1</td><td>10/23/97</td><td>Germany</td><td></td><td></td><td></td></tr> <tr><td>ZKS</td><td>K</td><td>100 45 694 A1</td><td>4/4/02</td><td>Germany</td><td></td><td></td><td></td></tr> <tr><td>ZKS</td><td>L</td><td>0 971 414 A1</td><td>1/12/00</td><td>Europe</td><td></td><td></td><td></td></tr> <tr><td>ZKS</td><td>M</td><td>00/35006</td><td>6/15/00</td><td>WIPO</td><td></td><td></td><td></td></tr> <tr><td></td><td>N</td><td></td><td></td><td></td><td></td><td></td><td></td></tr> </tbody> </table>										DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB CLASS	TRANSL. YES NO	ZKS	J	196 20 625 C1	10/23/97	Germany				ZKS	K	100 45 694 A1	4/4/02	Germany				ZKS	L	0 971 414 A1	1/12/00	Europe				ZKS	M	00/35006	6/15/00	WIPO					N																																						
		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUB CLASS	TRANSL. YES NO																																																																																
ZKS	J	196 20 625 C1	10/23/97	Germany																																																																																			
ZKS	K	100 45 694 A1	4/4/02	Germany																																																																																			
ZKS	L	0 971 414 A1	1/12/00	Europe																																																																																			
ZKS	M	00/35006	6/15/00	WIPO																																																																																			
	N																																																																																						
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)																																																																																							
<table border="1"> <tr> <td></td> <td></td> <td colspan="6">Gruening, U. et al.: "A Novel DRAM Cell with a VERTtical Access Transistor and Buried STrap (VERI BEST) for 4Gb/16Gb", IEEE, 1999, 4 pages</td> </tr> </table>										Gruening, U. et al.: "A Novel DRAM Cell with a VERTtical Access Transistor and Buried STrap (VERI BEST) for 4Gb/16Gb", IEEE, 1999, 4 pages																																																																													
		Gruening, U. et al.: "A Novel DRAM Cell with a VERTtical Access Transistor and Buried STrap (VERI BEST) for 4Gb/16Gb", IEEE, 1999, 4 pages																																																																																					
EXAMINER 				DATE CONSIDERED 